

**Notice of Allowability**

Application No.

09/809,584

Applicant(s)

ROSE, MARK

Examiner

Art Unit

Harish T. Dass

3628

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 6/8/06.
2. ☒ The allowed claim(s) is/are 1-13, 15-25 and 27.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.


Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO-1449 or PTO/SB/08),  
Paper No./Mail Date 3/25/03
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_.
7. ☐ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_.

  
HYUNG GOUGH  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600

***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114 was filed in this application after appeal to the Board of Patent Appeals and Interferences, but prior to a decision on the appeal. Since this application is eligible for continued examination under 37 CFR 1.114 and the fee set forth in 37 CFR 1.17(e) has been timely paid, the appeal has been withdrawn pursuant to 37 CFR 1.114 and prosecution in this application has been reopened pursuant to 37 CFR 1.114. Applicant's submission filed on 06/08/2006 has been entered.

**DETAILED ACTION**

Claims 14 and 26 are canceled.

Note: Per Daniel J. Krueger (Reg. No. 42,771), Figure 9 should be printed.

**EXAMINER'S AMENDMENT**

2. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Nick P. Patel (Reg. No. 57,365) and Daniel J. Krueger (Reg. No. 42,771).

The application has been amended to fix a typo error appeared in dependent claim 27:

The dependency of claim 27 is amended, claim 27 is dependent of claim 16.

**DRAWING:**

The following figures shall be amended to indicate that they are "Prior Art":

Figure 1A, 1B and 1C.

***Allowable Subject Matter***

3. The following is an examiner's statement of reasons for allowance:

retrieving from a service provider information regarding a specific security, and wherein the brokerage service populates the field with a symbol indicating the specific security before providing the order form, as recited in Independent Claim 1.

documents having the investment information and a representation of a link, wherein the link is a URL (uniform resource locator) address of order software on the brokerage computer, and wherein the link includes an indicator of a specific security associated with the investment information, and wherein the brokerage computer is configured to respond to a request activated by said link by sending an HTML document

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to the investor computer, wherein HTML document is a securities order form that indicates the specific security associated with the investment information as recited in Independent Claim 16.

Prior art

NPL - Datek.com discloses wherein the information includes a representation of a link to an online brokerage service, actuating the representation, thereby retrieving an order form for the specific security from the online brokerage service, and completing includes entering a password into a corresponding entry field in the order form.

NPL - Newsletter completing the order form, and submitting the order form to the brokerage service and wherein the order form includes a field to indicate the specific security, and

Barman et al (US 6,226,655) discloses retrieving information through a browser connected to a network, an operational controls for simplified Internet navigation from various sites and back again, save users time and effort in finding information on the Internet, and enable the publication of a new format for on-line magazines, called Netazines, which allow publishers to leverage the navigational controls provided in the invention product to foster a new paradigm for browsing magazine style information on the Internet.

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WO – none

Each of the prior art taken alone or in combination failed to teach or suggest the above features recited in independent claims 1 and 16.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harish T. Dass whose telephone number is 571-272-6793. The examiner can normally be reached on 8:00 AM to 4:50 PM.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung S. Sough can be reached on 571-272-6799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

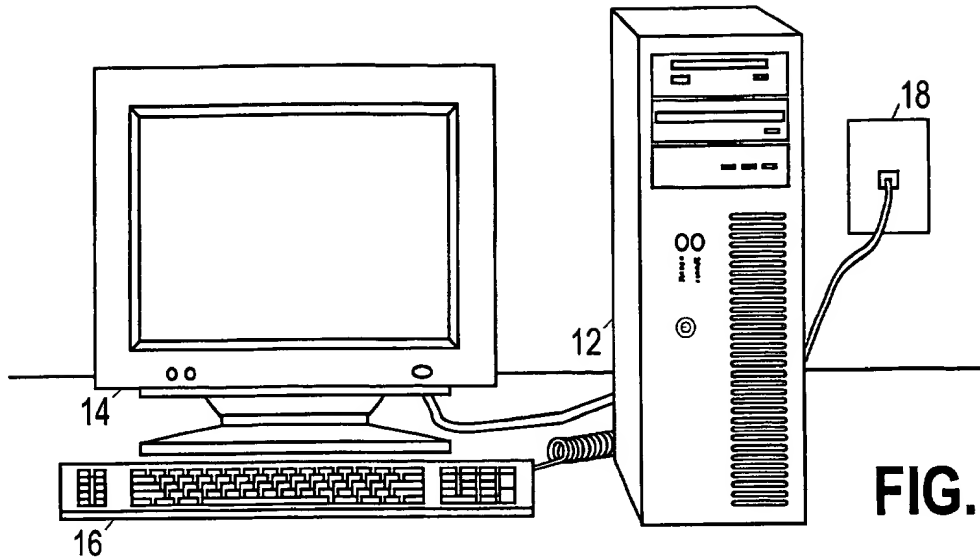
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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Harish T Dass  
Examiner  
Art Unit 3628

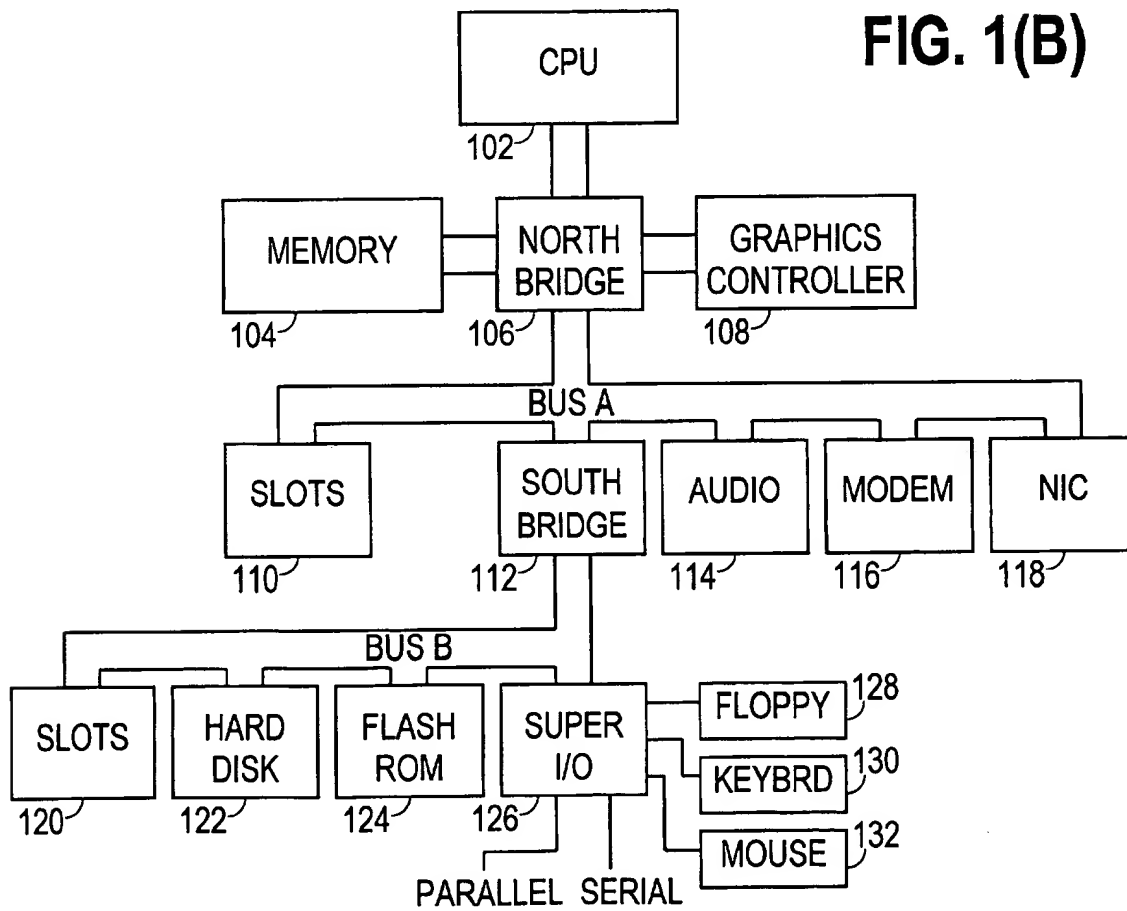
6/9/06

  
JIMMY SOUGH  
SUPERVISOR, PATENT EXAMINER  
TECHNOLOGY CENTER 3600



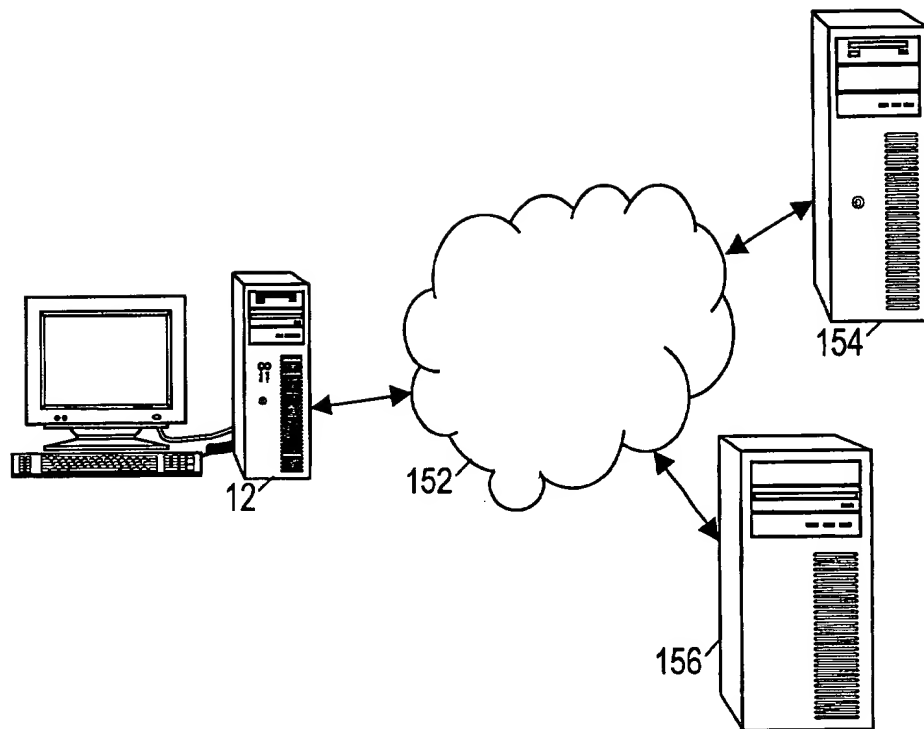
**FIG. 1(A)**

"Prior Art"



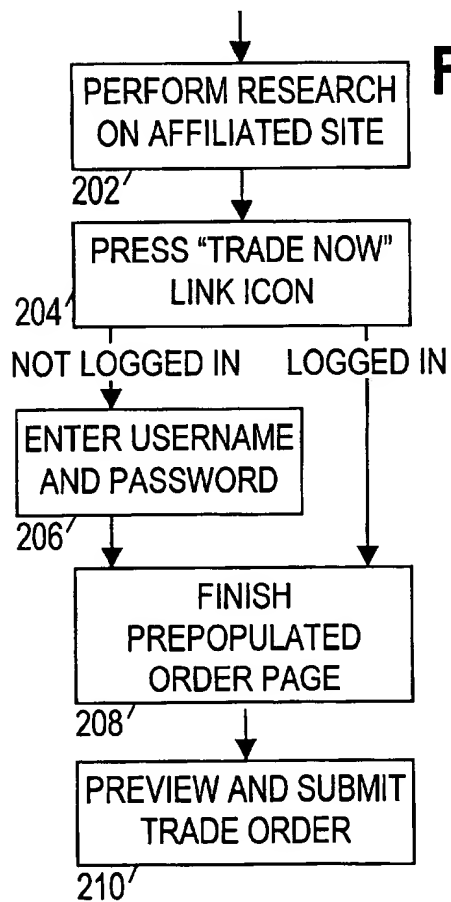
**FIG. 1(B)**

"Prior Art"



**FIG. 1(C)**

"Prior Art"



**FIG. 2**